



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Allan Chertok, J. Thomas Fowler, Darrell J. King, Gerald R. Larocque,  
Per Onnerud and Jay J. Shi

Application No.: 10/717,208      Group Art Unit: 2838

Filed: November 19, 2003      Examiner: Tso, Edward H.

Confirmation No.: 6011

Title: SYSTEM AND METHOD FOR BALANCING STATE OF CHARGE AMONG  
SERIES-CONNECTED ELECTRICAL ENERGY STORAGE UNITS

CERTIFICATE OF MAILING OR TRANSMISSION	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, or is being facsimile transmitted to the United States Patent and Trademark Office on:	
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SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

This Information Disclosure Statement is submitted:

☐ under 37 CFR 1.129(a), or  
(First/Second submission after Final Rejection)

☐ under 37 CFR 1.97(b), or  
(Within any one of the following time periods: three months of filing national application (other than a CPA) or date of entry of the national stage in an international application; or before the mailing date of a first office action on the merits in a non-provisional application, including a CPA, or a Request for Continued Examination).

☒ under 37 CFR 1.97(c) together with either:      04/26/2006 SDENB01 00000004 10717208  
02 FC:1806      180.00 OP

☐ a Statement under 37 CFR 1.97(e), as checked below, or

☒ a \$180.00 fee under 37 CFR 1.17(p), or  
(After the 37 CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)

☐ under 37 CFR 1.97(d) together with:

☐ a Statement under 37 CFR 1.97(e), as checked below, and

☐ a \$180.00 fee under 37 CFR 1.17(p), or  
(Filed after final action or notice of allowance, whichever occurs first, but on or before payment of the issue fee)

☐ under 37 CFR 1.97(i):  
Applicant requests that the IDS and cited reference(s) be placed in the application file.  
(Filed after payment of issue fee)

Statement Under 37 CFR 1.97(e)

- ☐ Each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement; or
- ☐ No item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned, after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Statement Under 37 CFR 1.704(d) (Patent Term Adjustment)

Applies to original applications (other than design) filed on or after May 29, 2000

- ☐ Each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in § 1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.
- ☒ Enclosed herewith is form PTO-1449:
- ☐ Copies of the cited references are enclosed.
- ☒ Copies of issued U.S. patents and published U.S. applications are not required and are not being provided.
- ☐ Copies of the cited references are enclosed except those entered in prior application, U.S. Application No. [ ], to which priority under 35 U.S.C. 120 is claimed. [The earlier application contains copies of the cited references.]
- ☐ The listed references were cited in the enclosed International Search Report in a counterpart foreign application.
- ☐ The "concise explanation" requirement (non-English references) for reference(s) [ ] under 37 CFR 1.98(a)(3) is satisfied by:
- ☐ the explanation provided on the attached sheet.
- ☐ the explanation provided in the Specification.
- ☐ submission of the enclosed International Search Report.
- ☐ submission of the enclosed English-language version of a foreign Search Report and/or foreign Office Action.
- ☐ the enclosed English language abstract.

[ ] Applicant requests that the following non-published pending applications be considered:

Examiner's  
Initials

\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s)], filed [ ], Docket No.: [ ]  
\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s)], filed [ ], Docket No.: [ ]  
\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s)], filed [ ], Docket No.: [ ]

\_\_\_\_\_  
Examiner

\_\_\_\_\_  
Date

- [ ] A copy of each above-cited application, including the current claims, is enclosed, except any application filed on or after June 30, 2003, which has been scanned into the PTO's Image File Wrapper (IFW) system and is available to the examiner.
- [ ] A copy of each above-cited application, including the current claims, is enclosed, except those entered in prior application, U.S. Application No. [ ], to which priority under 35 U.S.C. 120 is claimed.

The Examiner is requested to return a copy of the above list of pending applications indicating which references were considered with the next office communication.

It is requested that the information disclosed herein be made of record in this application.

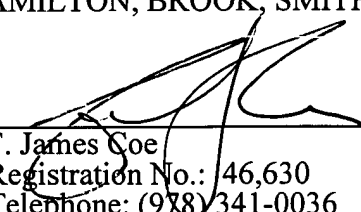
Method of payment:

- [X] A check for the fee noted above is enclosed, or the fee has been included in the check with the accompanying Reply. A copy of this Statement is enclosed.
- [ ] Please charge Deposit Account 08-0380 in the amount of \$[ ]. A copy of this Statement is enclosed.
- [X] Please charge any deficiency in fees and credit any overpayment to Deposit Account 08-0380.

Respectfully submitted,

HAMILTON, BROOK, SMITH & REYNOLDS, P.C.

By

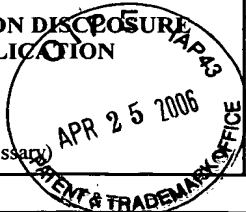
  
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Concord, MA 01742-9133

Dated:

4/20/06

PTO-1449 REPRODUCED		ATTORNEY DOCKET NO. 3556.1000-002		APPLICATION NO. 10/717,208	
<b>SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT IN AN APPLICATION</b>  <b>April 20, 2006</b> (Use several sheets if necessary)		FIRST NAMED INVENTOR Allan Chertok		FILING DATE November 19, 2003	
		EXAMINER Tso, Edward H.		CONFIRMATION NO. 6011	
				GROUP 2838	

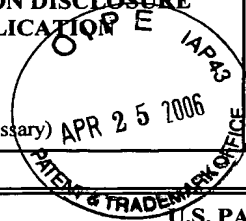


## U.S. PATENT DOCUMENTS

EXAM- INER INI- TIAL	REF. NO.	DOCUMENT NUMBER Number-Kind Code (if known)	ISSUE DATE / PUBLICATION DATE MM-DD-YYYY	NAME OF PATENTEE OR APPLICANT OF CITED DOCUMENT
	AE3	4,502,001	02-26-1985	Galloway
	AF3	4,719,401	01-12-1988	Altmejd
	AG3	4,949,028	08-14-1990	Brune
	AH3	4,967,136	10-30-1990	Nofzinger
	AI3	5,304,915	04-19-1994	Sanpei et al.
	AJ3	5,387,857	02-07-1995	Honda et al.
	AK3	5,498,950	03-12-1996	Ouwerkerk
	AA4	5,526,215	06-11-1996	Higashijima et al.
	AB4	5,548,201	08-20-1996	Grabon
	AC4	5,592,067	01-07-1997	Peter et al.
	AD4	5,644,209	07-01-1997	Chabbert et al.
	AE4	5,666,041	09-09-1997	Stuart et al.
	AF4	5,710,504	01-20-1998	Pascual et al.
	AG4	5,717,313	02-10-1998	Grabon
	AH4	5,764,027	06-09-1998	Harvey
	AI4	5,821,729	10-13-1998	Schmidt et al.
	AJ4	5,889,385	03-30-1999	Podrazhansky et al.
	AK4	5,912,547	06-15-1999	Grabon
	AA5	5,920,179	07-06-1999	Pedicini
	AB5	5,945,810	08-31-1999	Fujita et al.
	AC5	5,982,143	11-09-1999	Stuart
	AD5	5,982,144	11-09-1999	Johnson et al.
	AE5	6,043,627	03-28-2000	Doura et al.
	AF5	6,064,178	05-16-2000	Miller
	AG5	6,114,835	09-05-2000	Price
	AH5	6,140,800	10-31-2000	Peterson

EXAMINER	DATE CONSIDERED
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EXAM- INER INI- TIAL	REF. NO.	DOCUMENT NUMBER Number-Kind Code (if known)	ISSUE DATE / PUBLICATION DATE MM-DD-YYYY	NAME OF PATENTEE OR APPLICANT OF CITED DOCUMENT
	AI5	6,222,344 B1	04-24-2001	Peterson et al.
	AJ5	6,225,780 B1	05-01-2001	Koch
	AK5	6,271,645 B1	08-07-2001	Schneider et al.
	AA6	6,275,004 B1	08-14-2001	Tamai et al.
	AB6	6,291,972 B1	09-18-2001	Zhang
	AC6	6,297,619 B1 and X6	10-02-2001	Terada
	AD6	6,310,463 B1	10-30-2001	Nagaoka et al.
	AE6	6,340,880 B1	01-22-2002	Higashijima et al.
	AF6	6,437,539 B2	08-20-2002	Olsson et al.
	AG6	2002/0109482 A1	08-15-2002	Anzawa et al.

EXAMINER	DATE CONSIDERED
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